PTO/SB/08a (08-03)

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	Application Number	1	10661690			
INFORMATION DIGGL COURT	Filing Date		2003-09-12			
INFORMATION DISCLOSURE	First Named Inventor David D. Brandt					
STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Art Unit		2109			
(Not 10) Submission under 07 Of R 1.55)	Examiner Name Unknown /Tae Kim/		/Tae Kim/			
	Attorney Docket Number	er C	03AB014B/ALBRP303USB			

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/T.K./	4	4882752		1989-11	-21	Lindman, et al.					
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( Not for submission under 37 CFR 1.99)

Application Number		10661690			
Filing Date		2003-09-12			
First Named Inventor	David	D. Brandt			
Art Unit		<del>2153</del> 2109			
Examiner Name	Unkno	own /Tae Kim/			
Attorney Docket Number		03AB014B/ALBRP303USB			

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( Not for submission under 37 CFR 1.99)

Application Number		10661690	-				
Filing Date		2003-09-12	2003-09-12				
First Named Inventor	David	David D. Brandt					
Art Unit		2153					
Examiner Name	Unknown						
Attorney Docket Number		03AB014B/ALBRP303USB					

		CERTIFICATION	STATEMENT					
Plea	ise see 37 CFR 1	.97 and 1.98 to make the appropriate selection	on(s):	•				
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).							
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X	foreign patent of after making reas any individual de	information contained in the information diffice in a counterpart foreign application, an sonable inquiry, no item of information contaesignated in 37 CFR 1.56(c) more than thr 37 CFR 1.97(e)(2).	nd, to the knowledge of the ained in the information dis	e person signing the certification sclosure statement was known to				
	See attached cer	rtification statement.						
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Sigr	nature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2007-06-25				
Nan	ne/Print	Himanshu S. Amin	Registration Number	40894				

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The information provided by you in this form will be subject to the following routine uses:

- The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
- A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

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INFORMATION BIGGI COURT	Filing Date		2003-09-12		
INFORMATION DISCLOSURE	First Named Inventor David		id D. Brandt		
STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Art Unit		<del>2155</del> 2109		
(Not for Submission under 57 Of K 1.33)	Examiner Name	Unkri	/Tae Kim/		
	Attorney Docket Numb	er	03AB014B/ALBRP303USB		

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( Not for submission under 37 CFR 1.99)

Application Number		10661690				
Filing Date		2003-09-12				
First Named Inventor	David	D. Brandt				
Art Unit		<del>2153 -</del>	2109			
Examiner Name	Unkne	<del>own-</del>	/Tae Kim/			
Attorney Docket Number		03AB014B/	ALBRP303USB			

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( Not for submission under 37 CFR 1.99)

Application Number		10661690	4-10	
Filing Date		2003-09-12		
First Named Inventor	David	avid D. Brandt		
Art Unit		2153		
Examiner Name	Unkn	Unknown		
Attorney Docket Number		03AB014B/ALBRP303USB		

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OR	<b>!</b>					
	foreign patent after making re any individual	office in a counterpart foreig	n application, ar information cont	nd, to the knowledge of the ained in the information displays	cited in a communication from a ne person signing the certification isclosure statement was known to iling of the information disclosure	
	See attached o	ertification statement.				
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Sigi	nature	/Himanshu S. Amin/		Date (YYYY-MM-DD)	2006-12-12	_
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	Application Number	10661690
INFORMATION DIGGLOSUPE	Filing Date	2003-09-12
INFORMATION DISCLOSURE STATEMENT BY APPLICANT	First Named Inventor	David D. Brandt
(Not for submission under 37 CFR 1.99)	Art Unit	<del>-2153 </del> 2109
,	Examiner Name	Unknown /Tae Kim/
	Attorney Docket Numb	ber 03AB014B/ALBRP303USB

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( Not for submission under 37 CFR 1.99)

Application Number		10661690		
Filing Date		2003-09-1	2	
First Named Inventor	Davi	d D. Brandt		
Art Unit	•	<del>2153</del>	2109	
Examiner Name	Unk	10WN-	/Tae Kim/	
Attorney Docket Numb	er	03AB014B	B/ALBRP303USB	

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( Not for submission under 37 CFR 1.99)

	TITLE		<del></del>
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Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):  That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).  OR  That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filling of the information disclosure statement. See 37 CFR 1.97(e)(2).  See attached certification statement.  Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.  None  SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.  Signature  //Himanshu S. Amin/  Date (YYYY-MM-DD)  2006-08-08  Name/Print  Himanshu S. Amin  Registration Number  40894			CERTIFICATIO	N STATEMENT	
from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).  OR  That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).  See attached certification statement.  Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.  None  SIGNATURE  A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.  Signature  /Himanshu S. Amin/  Date (YYYY-MM-DD)  2006-08-08	Plea	ase see 37 CFR 1	.97 and 1.98 to make the appropriate select	ion(s):	
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Name/Print   Himanshu S. Amin   Registration Number   40894	Sigr	nature	/Himanshu S. Amin/	Date (YYYY-MM-DD)	2006-08-08
	Nan	ne/Print	Himanshu S. Amin	Registration Number	40894

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SU	PPLEMENTAL			Application Number	10/661,690			
	ORMATION DISC	el O	SURF	Filing Date	September 12, 2003			
	STATEMENT BY APPLICANT			First Named Inventor	David D. Brandt			
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eet	1	of	2	Attorney Docket Number	03AB014B/ACBRP303USB			

Exeminer Initials*	Cite No.	Document Number	Publication Date	Name of Patentos or	Pages, Columns, Lines, Where
		Number-Kind Code <sup>2 (Finom)</sup>	MM-DD-YYYY	Applicant of Cited Document	Relevant Passages or Relevant Figures Appear
/T.K./		US- 6.088.679	07-11-2000	Barkley	
/T.K./		US- 2002/0006790	01-17-2002	Brumenstock et al.	
7T.K./		US- 2003/0229812	12-11-2003	Buchholz	
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T.K./		US- 2004/0027875	02-12-2004	Dinges et al.	
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Examiner Executed	Cite No.	Foreign Patent Document  Country Code <sup>3</sup> Namber <sup>6</sup> 10nd Code <sup>6</sup> (Fitnown)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Clied Occument	Pages, Columns, Lines, Where Relevant Passagos or Relevant Figures Appear	7
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Substitute for form 14498/PTO			Complete if Known			
SUP	PLEMENTA	L		Application Number	10/661,690	
INFO	RMATION D	ISCLO	SURE	Filing Date	September 12, 2003	_
STATEMENT BY APPLICANT		CANT	First Named Inventor	David D. Brandt		
				Art Unit	<del>2153</del> 2109	_
	(Use as many sheets a	as necessary)	_	Examiner Name	Unknown /Tae Kim/	_
Sheet	2	of	2	Attorney Docket Number	03AB014B/ALBRP303USB	7

	•	, NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/T.K./		SANG-HO LEE, SUK LEE, JOON-WOO SON, MAN HYUNG LEE, JANMYUNG LEE, JONG IL BAE, JONG-NYUN LEE, Neuro-Fuzzy Performance Management of Factory Automation Networks, 1997, 5 pages.	
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Examiner Signature	/Tae Kim/	Date Considered	06/08/2007

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Substitute for form 1449A/PTO

#### SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**Application Number** 10/661,690 Filing Date September 12, 2003 First Named Inventor David D. Brandt Art Unit 2109 **Examiner Name** 

(Use as many sheets as necessary)

/Tae Kim/ Attorney Docket Number 03AB014B/ALBRP303USB

Examiner Initials*	Cite No.1	Document Number  Number-Kind Code <sup>2 (f known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/T.K./		US- 6,298,445 B1	10-02-2001	Adam Shostack et al.	
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•	FOREIGN PATENT DOCUMENTS								
Examiner	Cite	Foreign Patent Document	Publication Date	Name of Patentee or	Pages, Columns, Lines,				
Initials*	No.'	Country Code <sup>3</sup> 'Number <sup>4</sup> 'Kind Code <sup>5</sup> (# known)	MM-DD-YYYY	Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear				
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	Examiner Signature	/Tae Kim/		Date Considered	06/08/2007
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SUPPL	EMENTAL			Application Number	10/661,690		
INFOR	MATION D	ISCLO	SURE	Filing Date	September 12, 2003		
STATEMENT BY APPLICANT				First Named Inventor	David D. Brandt		
				Art Unit	<del>2153</del> 2109		
	Jse as many sheets a	as necessary)	1	Examiner Name	Unknown- /Tae Kim/		
Sheet	2	of	2	Attorney Docket Number	03AB014B/ALBRP303USB		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/T.K./		European Search Report dated October 7, 2005 mailed November 3, 2005 for European Patent Application Serial No.03023916.4 - 2413 PCT, 3 Pages.	
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Examiner Signature	/Tae Kim/	Date Considered	06/08/2007

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Application Number 10/661,690

Filing Date September 12, 2003

First Named Inventor David D. Brandt

Art Unit 2159 2109

Examiner Name Unknown / Tae Kim/

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Sheet 1 of 2 Attorney Docket Number 03AB014B/ALBRP303USB

Examiner	Cite No.1	Document Number	U. S. PATENT D Publication Date	Name of Patentee or	Pages, Columns, Lines, Where
Initials*	No.'	Number-Kind Code <sup>2 (# known)</sup>	MM-DD-YYYY	Applicant of Cited Document	Relevant Passages or Relevant Figures Appear
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FOREIGN PATENT DOCUMENTS								
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Initials*	No.¹	Country Code <sup>3</sup> Number <sup>4</sup> 'Kind Code <sup>5</sup> ( <i>il known</i> )	MM-DD-YYYY	Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear			
/T.K.	<u> </u>	WO 01/26335 A2	04-12-2001	Sensoria Corp.		Г		
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		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
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/T.K./		J. RINALDI. "Introduction to Ethernet/IP". The Online Industrial Ethernet Book. September 30, 2002. Retrieved from the internet: URL: http://ethernet.industrial-networking.com/articles/illethernet.asp retrieved on November 18, 2004. 2 pages.	
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Examiner	/Tae Kim/	•	Date	06/08/2007
Signature	<u> </u>		Considered	

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### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Substitute for form 1449B

Complete if Known **Application Number** 10/661,690 Filing Date September 12, 2003 First Named Inventor David D. Brandt Art Unit 2153 2109 Examiner Name /Tae Kim/ 03AB014/ALBRP303USB

(Use as many sheets as necessary) Sheet Attomey Docket Number

NON PATENT LITERATURE DOCUMENTS Examiner include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, Cite magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. Initials\* No.1 F. OLAECHEA; Partial European Search Report; EP 03 02 3916; The Hague, November 16, 2004. /T.K. INSIGHT CONSULTING; Insight on CRAMM IV; Insight Consulting Online; November 30, 2001; /T.K./ http://www.infosec-associates.com/framework/downloads/insight\_cramm.pdf INTERKAMA; DuPont Shares Network Security Methodology; Interkama Online, March 15, 2002; /T.K./ http://www3.interkama.com/cipp/interkama/custom/pub/content,lang,2/ticket,g\_u\_e\_s\_t/oid,3781. ROCKWELL AUTOMATION; Rockwell Automation and DuPont Engineering sign worldwide licensing agreement to /T.K. standardize and improve industrial computer networking security; Online, March 7, 2002; http://domino.automation. rockwell.com/applications/gs/region/gtwwebst.nsf/pages/Rockwell\_Automation\_and\_DuPont\_Engineering\_Sign\_.. D. SPINELLIS, S. KOKOLAKIS and S. GRITZALIS; Security Requirements, risks and recommendations for small /T.K./ enterprise and home-office environments; Information Management & Computer Security; Online, vol. 7, no. 3, December 31, 1999; http://www.dmst.aueb.gr/dds/pubs/jrnl/1999-IMCS-Soft-Risk/html/soho.pdf WILMINGTON SECTION ISA; Wilmington ISA Section Plant Tour of Astropower; ISA Online, March 21, 2001; /T.K./ http://www.isa.org/{wilmdel/Sensor/Mar01.pdf D. HARROLD; Control Engineering; Online, March 1, 2003; http://www.manufacturing.net/ctl.article/CA283196. /T.K./ L. FALKENAU; Site networking and beyond; ISA, Online, July 1, 2003; /T.K./ http://www.isa.org/InTechTemplate.cfm?Section=Departments4&template=/ContentManagement/ContentDisplay.cfm&Con tent1D=28025.

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Examiner Signature	/Tae Kim/	Date Considered	06/08/2007

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Application Number 10/661,690

Filing Date September 12, 2003

First Named Inventor David Brandt

Art Unit 2153 2109

Examiner Name Unknown / Tae Kim/

Attorney Docket Number 03A B014/AL REPROSULED

(Use as many sheets as necessary)

Sheet 1 of 1 Attorney Docket Number 03AB014/ALBRP303USB

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